



U.S. Department of Housing and Urban Development
Newark Field Office - Region II
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Newark, NJ 07102-5260
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August 20, 2014

Ms. Dana Wefer, Chairperson
Hoboken Housing Authority
400 Harrison Street
Hoboken New Jersey 07030

Dear Chairperson:

SUBJECT: Hoboken Housing Authority (HHA)
Procurement Review and Public Housing Assessment System (PHAS) Physical
Sub-Standard Review

Pursuant to our letter dated July 11, 2014, to you, our office conducted the limited procurement review and the PHAS Physical Sub-standard review of the Hoboken Housing Authority (HHA) during the week of July 28, 2014. The review was conducted by a three member team of my staff: Mr. Balu Thumar, Division Director, Mr. Raj Patel, Engineer, and Mr. Suresh Mistry, Engineer. During the review, the team met with Mr. Carmelo Garcia, Executive Director, Mr. Emil Kotherithara, Chief Financial Officer, Vanessa Lopez, Executive Secretary, Jackie Medina, Modernization Coordinator, Luis Acevedo, Maintenance Manager and Lucie Vasquez, Cashier/Purchase Agent, who provided information for the subject review.

During our exit meeting on Wednesday, August 13, 2014, with you, Mr. David Mello, Vice- Chair and Ms. Judith Burrell, Commissioner, we provided you with an overview of our observations and recommendations for the subject review. Also at this meeting we discussed various aspects of the Public Housing, specifically, the hiring of an Executive Director. We recognize that the occasion may arise when it may be necessary for a housing authority to temporarily appoint someone to act in the capacity of executive director during a search and appointment of a new director. However, this is meant to be for a limited duration while an active search is conducted for a qualified candidate. To ensure that the intent of the Law is met, the housing authority must act expeditiously to appoint a permanent executive director with the appropriate credentials. Furthermore, we conveyed to you that all Board of Commissioners must complete the State required training courses and that HUD can provide additional Board Training which includes areas of procurement. This training is strongly recommended, in light of this review.

The attached report is divided into two parts, Part I: Procurement Review and Part II: PHAS Physical Sub-Standard Review. The report contains one finding and ten observations for which a Corrective Action Plan (CAP) must be prepared and send to me at Sonia.l.burgos@hud.gov. Responses must be received within 30 days from the date of this report.

We appreciate your efforts in working us. Please feel free to contact me, at 973-776-7210, should you have any further questions.

Sincerely,



Sonia L. Burgos
Director
Office of Public Housing

cc: David Mello, Vice-Chair
Email: melloforHoboken@gmail.com

Robert Davis III, Chairman
Email: goodayvis@yahoo.com

Jean Rodriguez, Commissioner
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Judith Burrell, Commissioner
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James Sanford, Commissioner
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David Dening, Commissioner
Email: daviddening.hha@gmail.com

Mr. Richard Fox, Interim Executive Director

Part I: Procurement Review:

To conduct the procurement review, 24 CFR Part 85.36 and HUD Handbook No.: 7460.8 REV 2, were used as guidance. Since the complete Contract Log was not available, the team reviewed the following eight contracts based on a random sampling.

Contractor	Work Description	Amount	Funding Source
Schindler Elevator Corporation	Elevator Service and Maintenance	\$60,000	Operating Budget
Total Fire Safety	Maintenance & Service for all Fire Protection System	\$91,474	Operating Budget
DMR architects (Op funds)	A/E service	\$50,000	Operating Budget
Panetta Industrial Automation	Purchase and Install Boilers	\$104,400	CFP
LandTek Group, Inc.	MAMA Johnson Field Improvements	\$845,585	CFP/City
Haddad Electric, Plumbing and Construction (Sandy Related Work)	Electric, plumbing and restoration work for all Developments	\$592,102	Flood Insurance
All Risk	Remove debris, clean and sanitize all development	\$422,217	Flood Insurance

In general, the review revealed the following systemic deficiencies:

- A comprehensive procurement/contract log was missing.
- Procurement history records were incomplete.
- Required procurement documentations were missing and there were gaps in the procurement files.
- The records were kept at different locations in multiple files in an unorganized manner impeding the review of contract records.
- It was evident that the staff involved in procurement lacked knowledge of procurement regulation, process and record keeping.

Furthermore, the review team observed the following deficiencies in various stages of the procurement history, listed by contractor, as follows:

Contractor: Schindler Elevators Corporation:

Planning Stage:

- Missing records of the department requesting the solicitation and corresponding funding source.
- No record for Independent Cost Estimate (ICE) and sources used to develop ICE, taking budget as cost estimate.

Solicitation Stage:

- Inadequate solicitation caused elevated bid price over budget.
- Non-compliance with HUD procurement 24CFR85.36 during State contract processing.
- Copy of the solicitation/advertisement was not in the folder.
- Determination of wage rate was missing.

Contract Award Stage:

- Inadequate information in Board Resolution approving the award.

- Required form HUD-5369 and HUD 5370 were missing.
- Inadequate information in contract agreement.
- Implementation schedule was not in the file.

Contract Administration Stage:

- Construction monitoring and inspection reports were missing.
- Periodic progress payments were missing.

Contractor: Total Fire Safety, LLC

Planning Stage:

- No records of the department requesting the solicitation and corresponding funding source.
- No record for Independent Cost Estimate (ICE) and sources used to develop ICE.

Solicitation Stage:

- Copies of the newspaper advertisements were not in the file.
- Bid tabulation log was missing.
- Prevailing wage rate determination records were not in file.

Contract Award Stage:

- According to the HHA, the contract was awarded on sole source basis however, the justification and counsel verification was missing from the file.
- The form HUD-5369 and 5369-A were found instead of the required documentation, form HUD-5369-B and C; and HUD-5370-C, Section I & II.

Contract Administration Stage:

- Monitoring and inspection records were missing.
- Progress payment records were not found in the file.
- Close-out documentations were missing.

Contractor: DMR Architects:

- HHA has followed the competitive procurement process for the professional service however, the rating and ranking criteria was evaluated by only one person.
- According to HHA, they had 3 persons committee; however only one scoring sheet was found and the other two scoring sheets were missing.

Contractor: G S Elevators:

Planning Stage:

- Missing records of the department requesting the solicitation and corresponding funding source.
- No record for Independent Cost Estimate (ICE) and sources used to develop ICE.

Contractor: Penetta Industrial Automation:

Planning Stage:

- No records of the department requesting the solicitation and corresponding funding source.
- No record for Independent Cost Estimate (ICE) and sources used to develop ICE.

Solicitation Stage:

- Bid solicitation packet was missing from the folder.
- Copy of the solicitation/advertisement was not in the folder.
- Determination of wage rate was missing.

Contract Award Stage:

- Board Resolution approving the award was missing.
- Required form HUD-5369 and HUD-5370, were missing.
- Implementation schedule was not in the file.

Contract Administration Stage:

- Construction monitoring and inspection reports were missing.
- Periodic progress payments were missing.
- Close-out documentations were missing.

Contractor: LandTek Group, Inc.:

Planning Stage:

- No records of the department requesting the solicitation and corresponding funding source.

Solicitation Stage:

- Copy of the solicitation/advertisement was not in the folder.
- The bid bond was not in compliance with the requirement of 10%, not to exceed \$20,000.

Contract Award Stage:

- No record of verification against list of debarred entities.
- The contract missing the clause for liquidated damages.
- The required for HUD-5370, was missing.

Contract Administration Stage:

- No record of verification for Performance and Payment bonds against the Department of Treasury roster of acceptable entities.
- Construction monitoring and inspection reports were missing.
- Periodic progress payments were missing.
- Close-out documentations were missing.

Contractor: Haddad Electric, Plumbing and Construction and All Risk:

According to the contracting officer, due to the October 29, 2012-Hurricane Sandy disaster, the contracts were awarded to the above contractors based on emergency solicitation method. Since January 2013, HHA issued the purchase orders to above contractors as well as a few other vendors to mitigate the damage caused by the hurricane Sandy. Board of commissioners and Legal counsel were appraised at the time of initial emergency solicitations as well as subsequent Monthly Board meetings. However, even after 18 months later, HHA have been using these same contractors on as needed bases by way of purchase orders. It appears that by issuing such purchase orders, HHA has circumvented the bidding process.

After initial clean up and restoration of electricity, HHA should have conducted the independent needs assessment with the associated cost estimate to mitigate the storm damage. Subsequently, HHA should have utilized the sealed bid method to obtain the lowest price possible by promoting full and open completion. Instead, the HHA continued issuing multiple purchase orders to a few vendors which cumulatively well exceeded the State Bid Threshold of \$17,500.00. As of June 30, 2014, the HHA paid in total aggregate sum of \$3,217,757.00, to these vendors utilizing emergency procurements.

Finding #1:

The emergency contracting practices employed by the HHA for the Sandy related work did not at times comply with the Department's noncompetitive procurement requirements cited at 24 CFR 85.36 (d)(4)(i). The HHA utilized a number of emergency procurements and State approved vendors without adequate justification. Thus HHA failed to demonstrate and document the noncompetitive awards due to the exigency/emergency.

Recommendation:

Based on our review of the contract files, unjustified non-competitive procurement of over \$3 million; and the lack of the staff knowledge of procurement regulation, the Newark Field Office has determined that effective immediately the Housing Authority shall be placed on the "**zero threshold**". As a result, the HHA must submit all procurements /payments to Newark Field Office for prior HUD approval.

The Hoboken Housing Authority must comply with the following protocol:

- a) For any procurement activity (Operating subsidy or Capital funds) estimated to exceed the State Bid Threshold (\$17,500.00), the HHA must submit to this office for prior review and approval.
- b) The HHA must obtain prior HUD approval for all procurement activities, including Requests for Proposals (RFPs), Request for Qualifications (RFQs) or Invitations for Bids (IFBs), Contract awards, and Contract modifications. All requests for HUD approval must accompany corresponding Board Resolution and Attachment A: OSAR Checklist, attached.
- c) For all contracts currently in effect and awarded in the future, prior to any payments for such contracts, the HHA must submit to HUD a copy of the pertinent contract, Board Resolution authorizing the contract award, and payment history to-date. The request for payment of all the invoice submitted to HUD for prior approval, must include a certification from the Authority's Contracting Officer that the Housing Authority has received and accepted the pertinent goods or services under the contract and that the contract and payment meets all

applicable Federal, State and local laws, rules and regulations. The request must accompany Attachment B: ESAR checklist, attached.

- d) This threshold applies to Low Income Public Housing programs and funding sources, including Capital funds Grants, Operating Budget.
- e) The HHA must provide this office at the least 15 business days to review and process any procurement action/transaction.
- f) All invoices/partial payments shall be received by this office no later than 15 business days prior to the payment due date. All submissions made pursuant to these instructions must be hand delivered or registered mail, deliverable to Ms. Sonia Burgos, Office of Public Housing, Newark Field Office, and Newark, NJ 07102.

Observations:

1. The state of the procurement process was unorganized and procurement record keeping was incomplete.

Recommendation:

We strongly recommend that the HHA must consider hiring an experienced modernization coordinator/procurement officer, either as a consultant or as an employee. The individual/entity must be knowledgeable in Federal/State/Local procurement compliance and experienced in grant management.

2. The HHA has a procurement policy however; the board resolution approving the policy was not available.

Recommendation:

The HHA must have the general counsel review and approve the Procurement Policy and subsequently have the Board adopt the policy through formal board resolution.

3. The HHA failed to document the entire history for each procurement, at every phase, starting with procurement planning through contract completion. The phases include: planning, solicitation, award and administration.

Recommendation:

The HHA must develop a comprehensive Procurement/Contract Log with all vital data to track entire procurement operation. The following is a list of the some of the documentation required to document the history of procurement. Please note that it is not an all-inclusive list.

Planning Phase:

- Statement of need.
- Independent cost estimate.
- Budget availability and funding source.
- Selection of procurement method with valid justification.

Solicitation Phase:

- Statement of work or bid package (with required forms and bond).
- Compliance with the most stringent requirement for solicitation especially bid bond must be 5% for all contracts over \$ 400, 000 in accordance with 24CFR 85.36.
- Comply with 24CFR 85.36 for small purchase, sealed Bid and competitive solicitation for professional contracts. See attached Procurement Matrix.
- Prevailing wage rate determination.
- Copy of solicitation.
- Copy of newspaper advertisement.
- List of offers/RFQs/Bidders.

Award Phase:

- Determination of the successful offer/professional/bidder, including price reasonableness.
- Cost analysis if required.
- Verify that the successful bidder is not on the debarred list.
- Verification that the bonding/surety company is not on the debarred list.
- HA's General Counsel Review and opinion.
- Board Resolution identifying bidder's information and other related information of award justification.

Administration Phase:

- Notice to Proceed to the successful bidder.
- Notification to unsuccessful bidders/offeror.
- Verify proof of insurance.
- Obtain Implementation schedule.
- Verify Bonding Company is acceptable.
- Monitoring Inspection reports.
- Progress payments.
- Punch list.
- Warranties/Guarantees.
- Certification of Completion.
- Contractor's Release and Certification.
- Certification of Occupancy (CO).
- Final inspection and final payment.

Part II: Public Housing Assessment System (PHAS) Physical Sub-Standard Review:

During the review, we met with Luis Acevedo, Maintenance Manager, Jackie Medina, Modernization Coordinator and Robert Braxton, Inspector, to obtain the status of the Annual Inspection operation.

The table below shows HHA inventory of Asset Management Projects (AMPs), Year developments were built in, unit count, building count and type of structure.

AMP/ Development Number	Development Name	When built	General Occupancy	Non-occupancy	Total ACC Units	Total Units	Building count	Type	Story
NJ015000001	ANDREW JACKSON GRDNS	1953	597	5	602	602	20	8 Hi-rise; 12 walk-up	7 and 3
NJ015000002	C COLUMBUS GRDNS	1952	97	0	97	97	2	Hi-rise: Elevator	7
NJ015000003	HARRISON GRDNS	1961	208	0	208	208	4	Hi-rise: Elevator	10
NJ015000004	MONROE & ADAMS GRDNS	1967	250	0	250	250	2	Hi-rise: Elevator	9
NJ015000005	FOX HILL GRDNS	1973	200	0	200	200	1	Hi-rise: Elevator	10

Observations:

4. According to the maintenance staff of the HHA the computer system the housing authority was using for the annual inspection had crashed. The HHA has not made any effort to contact the vendor for product support. Hence the HHA has been using the manual system to carry out and record the dwelling unit inspections.
5. The HHA was unable to demonstrate that the annual inspections are carried out in accordance with the REAC inspections criteria. The HHA was unable to present the inspection records for: Common Areas, Building Exterior, Building System and Site.
6. The review team visited the mechanical room in AMP #4: 221 Jackson Street, which was found to be in acceptable condition however, the mechanical room in AMP #1: 400 Marshall Drive, near the HHA office, had open unfinished electric panels and had debris on the floor.
7. Based on the discussion with HHA maintenance staff, it appeared that the staff lacks the full comprehension of the maintenance operation of the housing authority this size and lacks the capability and understanding to manage maintenance operation of such magnitude. According to the HHA staff in-charge of the maintenance operation, he previously worked as a resident coordinator and has been working in the present capacity

as the Maintenance Manager since about one year. Due to the frequent staff turnover, the HHA lacks the accountability and the continuity.

8. The HHA lacks systematic and organized record keeping for all aspects of maintenance operation including work orders, unit turnaround, preventive maintenance and annual inspections.
9. Due to inadequate record keeping, the maintenance department has not been presenting to the Executive Director and the Board the real time summary reports showing status of the maintenance operation on a monthly basis.
10. Inadequate coordination to implement corrective action plan created and agreed by HHA.

Recommendations:

1. With the publication of the Public Housing Capital Fund Program Final Rule was published in the *Federal Register* October 24, 2013, the PHAs are required to develop the Green Physical Needs Assessment (GPNA). The GPNA integrates the energy conservation component to the traditional physical needs assessment to optimize the capital improvement as a whole. For further details refer to the weblink: [http://portal.hud.gov/hudportal/HUD?src=/program offices/public indian housing/programs/ph/capfund/physicalassessment](http://portal.hud.gov/hudportal/HUD?src=/program%20offices/public%20indian%20housing/programs/ph/capfund/physicalassessment).
2. The HHA shall develop a comprehensive Maintenance Plan for all aspects of maintenance operation, including preventive maintenance. The plan must include Work order system, Annual inspection, vacant unit turnaround, staffing and organization of central and site based activities, training and computerized systems.
3. The HHA must have an adequate, effective and efficient computerized Tracking system for work orders, annual inspections and vacancies/unit turnaround. The system shall be capable of generating meaningful real time reports that can be used as a management tool to monitor and evaluate the maintenance operation as a whole.
4. Furthermore, the HHA must develop and implement a meaningful Quality Assurance/Quality Control (QA/QC) system for all aspects of maintenance operation. And the entire process must be fully documented.
5. The HHA must have a record keeping and filing system which demonstrates that the HHA carries out all required annual inspections and must be readily available for review.
6. Identify routine and non-routine maintenance, in-house and service contracts; and its related administration and tracking.
7. As a part of the Annual Inspection, the HHA must review and analyze REAC Prevalence Reports focus on the systemic deficiencies identified by the REAC in previous inspections.
8. The HHA must provide adequate training to the maintenance staff for all phases of maintenance operation including annual inspection in compliance with the Uniform Physical Condition Standards (UPCS).

9. Adequately prepare for upcoming REAC inspection.
10. Track all items of corrective action plan monthly and submit progress reports to HUD on a quarterly basis.

Attachment A
Hoboken Housing Authority (HHA)
Capital Fund Program (CFP)
Obligation Submission Approval Requirements (OSAR)
For Zero-Threshold PHAs

All Zero-Threshold PHAs as agreed to additional monitoring and oversight by HUD, and as deemed necessary in order to ensure proper use of the Capital Fund Program.

Hoboken Housing Authority, prior to obligation of CFP funds, all award documents (i.e., solicitations, contracts, contract modifications, along with board resolutions, where applicable) must be submitted to this Office for review and approval.

In order to expedite the approval of your planned obligations a two-part review process for all procurement actions using Capital funds has been developed. Part I of the review process will consist of a review of the bid/solicitation process employed by your PHA (see Part I below), this must be completed and approved prior to advertising/soliciting bids. Part II of the review process will entail a review of your PHA's determination of the successful respondents (see Part II below), this must be completed prior to award of the contract. Your PHA must submit the pertinent information and documents to the **OPH-Newark Field Office**.

After submission of a complete package, this Office will review and determine whether the obligating documents are approvable. Once approved, this Office will send an email or other written notification to inform you that your PHA can either proceed with your bid/solicitation or award the procurement action and then report the obligation in LOCCS.

Hoboken HA requests approval from the **OPH-Newark Field Office** for the procurement action as indicated:

- 1) pre-procurement/solicitation 3) change order activity.
- 2) procurement/contract award

The specific request provided below is as follows:

Service/Product Description	Funding Source	Type of Contract/Solicitation	Solicitation or Contract No.

DATED: _____

BY: _____
HHA Contracting Officer

Attachement A
Hoboken HA
OSAR SUBMISSION REQUIREMENTS

PART I: IFB/RFP/RFQ PACKAGE SUBMISSION:

		Y	N	NA
1.	Provide summary of service/activity being procured (i.e. cover page on previous page)			
2.	Identify and justify planned procurement method (i.e. small purchases, sealed bids (IFB), RFP/RFQ, etc. Submit on PHA letterhead.)			
3.	Describe advertisement/ solicitation plan and submit the following:			
	• Proposed advertisement			
	• List of publication sources			
	• List of pre-qualified firms/direct solicitations.			
4.	Submit Independent Cost Estimate (identify source of data used to develop cost analysis (historical means, previous contracts, etc.)			
5.	Submit Complete Bid(IFB)/RFP/RFQ Package			
	• Table of Contents			
	• Bid/Proposal Form			
	• Scope of Service/Specifications (detailed drawings and specs not necessary)			
	• HUD Form 5369-B: Instructions to Offerers for Non-Construction Contracts			
	• HUD Form 5369 C:			
	• HUD Form 5370-C: General Conditions for Non-Construction Contract			
	❖ HUD Form 5369:Instructions to Bidders for Contract			
	❖ HUD Form 5369-A: Representations, Certification and Other Statements of Bidders			
	❖ HUD Form 5370: General Conditions for Construction Contract			
	• HUD Form 2530 Previous Participation Certificate (Multi Family Development)			
	➤ Form HUD-51915: A/E Agreement			
	➤ HUD Form -51915-A: A/E Contract Provisions			
	• Supplemental Instructions and Requirements			
	• Copy of RFP/RFQ/IFB (Sealed Bid)			
	• Wage Determination (Davis Bacon Act)			
	• Section 3, Small Business, MBE/WBE			
	• Proposed Contract or proposed Form of Agreement (HUD Form 51915)			
	• Bid Guarantee/Performance/Payment Bonds			
	• Non-Collusive Affidavit			
	• Payment Procedures, HUD Forms 51000, 51003, 51004 (as applicable)			
	• Change Order HUD Form 51002 (or other forms used by PHA)			
	• Form of Contractor's Certificate of Completion and Release			
	• All other forms included by PHA			

Attachment A
Hoboken HA
OSAR SUBMISSION REQUIREMENTS

PART II: PRE-AWARD SUBMISSION

		Y	N	NA
1.	Solicitation Documentation			
	• Published Advertisement (News clipping or affidavit from publication)			
	• Solicitation Log – Request for package			
	• Bid document register and fees charged			
	• Copies of amendments and transmittal letters to respondents			
	• List of Bids/Proposals/Qualifications received			
2.	Determination of Responsive Bidders			
3.	Determination of Responsible Bidder/Offerer			
	• Suspension/Debarment List			
	• Limited Denial of Participation			
	• Conflict of Interest			
	• Past performance, technical & financial			
	• Verification of Bonds: Bid/Performance/Payment			
4.	Determination of Cost Reasonableness			
	• Price or Cost Analysis and supporting documentation			
	• Description of negotiation process and results			
	• Submit bid tabulation table and comparison of all bids/proposals			
5.	Submit comparison of ratings of evaluation (only applies to RFP/RFQ)			
	• List of members on the evaluation panel (instructions and definitions provided to panel members may be requested but do not need to be submitted.)			
6.	Justification for contract acceptance/rejection <u>including:</u>			
	• <u>Copy of written rationale for award (i.e. finding of fact or determination and finding.)</u>			
7.	Board Resolution approving the Award			

Attachment B
Hoboken Housing Authority (HHA)
Capital Fund Grant
Expenditure Submission Approval Requirements (ESAR)
For Zero-Threshold PHAs

All Zero-Threshold PHAs as agreed to additional monitoring and oversight by HUD, and as deemed necessary in order to ensure proper use of the Capital Fund Program.

Prior to expending any funds, the HHA must submit required documentation to the local HUD Field Office for review and prior approval.

In order for this office to approve the drawdown of funds (expenditures) you must submit the information and documents requested in the Submission Requirements section to the **HUD-Newark Field Office**.

After submission of a complete package, this Office will review and determine whether your expenditure documents are approvable. Once approved, this Office will send an email or other written notification to you informing you that you can drawdown the funds.

The Hoboken HA requests approval for the following draw down of funds from the **HUD-Newark Field Office** for the procurement action as indicated below:

Development Number /PHA-Wide Activities	Source of Funds/ Budget Line Item	Contractor/Vendor - Description of Work Item	Amount of draw down requested

DATE: _____

BY: _____
HHA Contracting Officer

Attachment B
Hoboken Housing Authority
ESAR SUBMISSION REQUIREMENTS

		Y	N	NA
1.	Documentation required for LOCCS draw downs for <u>construction contracts</u> (including small purchase procurements)			
	A. Provide summary of draw down (i.e. cover letter)			
	B. Contract/Task Order (if not already submitted to Field Office)			
	C. Invoice for services provided, must include reference to contract number, project name and address			
	D. Application and Certificate for Payment signed by both Contractor and the PHA/Agent (such as Architect), HUD Form 51000 or applicable forms			
	E. Form HUD-51001: Periodic Estimate for Partial Payment, completed and signed			
	F. Signed approval for payment by PHA (amount and specific signatures should be consistent with PHA Procurement Policy section on Delegations of Authority)			
2.	Documentation required for LOCCS draw downs for <u>professional, service or supply contracts</u> (including small purchase procurements)			
	A. Provide summary of draw down (i.e. cover letter)			
	B. Contract/Task Order (if not already submitted to Field Office)			
	C. Invoice for services provided, must include reference to contract number, project name and address			
	D. Signed approval for payment by PHA (amount and specific signatures should be consistent with PHA Procurement Policy section on Delegations of Authority)			
3.	Documentation required for LOCCS draw downs related to <u>administration (BLI 1410)</u>			
	A. Provide summary of draw down (i.e. cover letter)			
	B. Cost Allocation Plan, Payroll or other documentation to support expenditures			
	C. Other documents			
4	Implementation Schedule			
5	Progress Report with A/E, Contracting Officer signature			
6	Inspection Reports			
7	Is it the Final Requisition			
8	Is project completion on time/schedule			
9	Any Liquidated Damages incurred			
10	Are Punch List items completed			
11	Certification of Occupancy			
12	Contractor's Certification of Completion and Release			
13	Warranties/Guarantees			
14	Release of Retainage/ Final Payment			

Procurement Matrix

Action ¹	Small Purchases		Sealed Bids	Competitive Proposals	Non-Competitive Proposals
	Micro Purchases \$2,000 max.	Small Purchases \$2,000 to \$99,999	\$100,000 and higher	\$100,000 and higher	\$100,000 and higher
Ind. Cost Estimate (ICE)	Not required	Required (minimal documentation per prior purchases, catalog, etc)	Required (documentation commensurate with size, complexity, etc)	Required (documentation commensurate with size, complexity, etc)	Required
Competition	Not required provided quote received is reasonable per prior prices paid or catalog prices	Two or more solicitations required in the open market	IFB solicited in the open market	RFP solicited in the open market	Sole source proposal issued or single source received after issuing proposals
Solicitation Period	N/A	N/A	Sufficient to achieve effective competition; 2 wks + + as reco. by State	Sufficient to achieve effective competition; 2 wks + as reco. by State	N/A for sole source solicitations
Award Contract	P.O.	P.O. or Contract or Agreement	Contract (firm-fixed price)	Agreement	Agreement
Price/Cost Analysis	Not required; Signature of CO satisfies reasonableness	Perform Price Analysis using comparison of proposals rec'd or other sources of info., if needed	For Price Analysis, use comparison of proposals if competition present; otherwise, perform a Cost Analysis.	Perform either a Price or Cost Analysis depending on the complexity of the proposals	Perform a Cost Analysis of single or sole source proposal received
Bid & P&P Bonds	Not required	Not required	Required for construction	Not required	Required for construction
Wage Rates	Not required	Required for maint./construction contracts	Required for maint./construction contracts	Not required unless used for maint./construction contracts	Not required unless used for maint./construction contracts
Required HUD forms for solicitation and/or contract award, as applicable	None required	<u>Contract Forms:</u> Table 5.1; HUD-5370-EZ (if construction contract); HUD-5370-C, Section II (if maintenance contract)	<u>Non-Construction Solicitation:</u> HUD-5369-B; HUD-5369-C <u>Non-Construction Contract:</u> HUD-5370-C <u>Construction Solicitation:</u> HUD-5369; HUD-5369-A <u>Construction Contract:</u> HUD-5370	<u>Solicitation for A/Es & Non-Const.:</u> HUD-5369-B HUD-5369-C <u>Contract for Non-Construction:</u> HUD-5370-C <u>A/E Agreement:</u> HUD-51915 <u>A/E Contract Provisions:</u> HUD-51915-A	Any may apply as listed for Small Purchases, Sealed Bids or Competitive Proposals
Exclusion from Fed. G.	Not required	Required	Required	Required	Required
Documentational for award	Not required	Required only if rationale is non-apparent	Required only if rationale is non-apparent	Written summary of Evaluation Report required	Written summary of Evaluation Report required
Appeal Procedures	Informal	Informal	Formal	Formal	N/A for sole source solicitations

¹ Per \$100,000 Federal Simplified Acquisition Threshold or a lower limit imposed by the State.